



BUILDING HOME

Monitoring, Record-keeping and Reporting

Monitoring Function



- Monitoring fosters:
 - ◆ Production/accountability
 - ◆ Compliance with requirements
 - ◆ Responsiveness to community needs
 - ◆ Effective use of resources
 - ◆ Good organizational performance

Who Gets Monitored



- PJ
- CHDO
- Subrecipient
- Developers
- Contractors



Annual Monitoring Plan



■ Address:

- ◆ Monitoring objectives
- ◆ Basic monitoring elements
- ◆ Staff and schedule
- ◆ Areas for in-depth monitoring
- ◆ Follow-up activities
- ◆ Coordination among key groups



Steps in Developing Plan

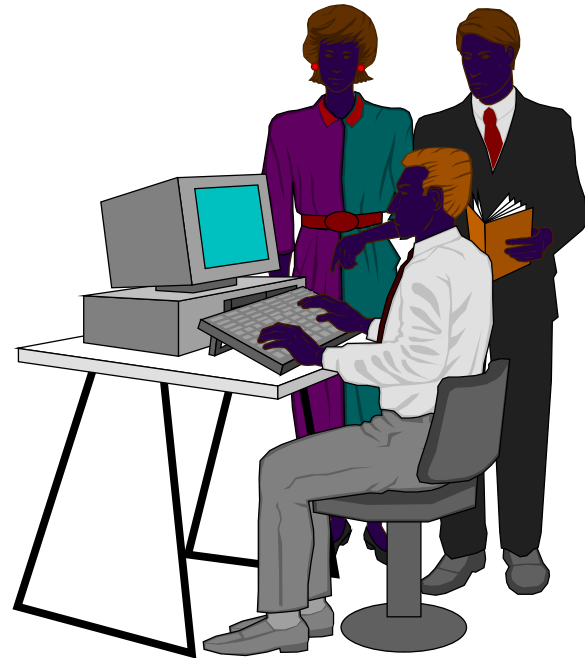


- Identify monitoring objectives
- Develop monitoring strategy
- Use risk factors to set priorities
- Assign staff and develop schedule
- Perform reviews
- Implement follow-up

Implementation



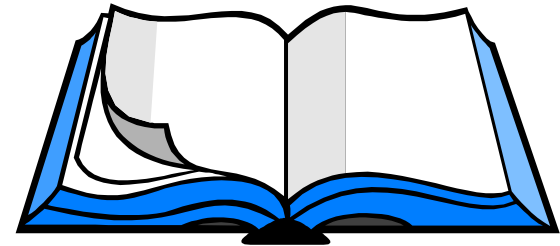
- Options for staffing:
 - ◆ Institutionalize
 - ◆ Collaborate
 - ◆ Contract out



Policies and Procedures



- Develop monitoring policies, procedures, guides
- Include sample:
 - ◆ Form letters
 - ◆ Checklists
 - ◆ Job descriptions



Levels of Monitoring



- HUD review of PJs
 - ◆ Annual review
 - ◆ If issues, may result in concerns or findings
 - ◆ If problems not resolved, sanctions may be imposed



Levels of Monitoring II

- PJ monitoring of its programs and administration
 - ◆ Consistency with Con Plan
 - ◆ Commitment and expenditure of funds
 - ◆ Match
 - ◆ Compliance in program design/implementation with HOME rules
- Must monitor subrecipient programs



Levels of Monitoring III

- Project monitoring
 - ◆ Project meets requirements
 - ◆ Needed regardless of type of project or entity
- Beneficiary monitoring
 - ◆ Make sure families meet income and occupancy requirements



Risk Analysis

- Determine risk factors
- Assign weight to risk factors
- Determine rating by factor
- Compile all scores
- Rank organizations



Desk Reviews

- First step
- Examine reports and financial information
- Gather additional information as needed



On-Site Basics



- Collect info to:
 - ◆ Assess performance
 - ◆ Assess compliance
 - ◆ Determine adequacy of records

On-Site Step 1



- Prepare for visit by reviewing:
 - ◆ Application
 - ◆ Reports
 - ◆ Draw downs
 - ◆ IDIS reports
 - ◆ Previous monitoring
 - ◆ Audits

On-Site Step 2



- Conduct visit:
 - ◆ Notify funding recipient of visit
 - ◆ Conduct entrance conference
 - ◆ Gather data
 - ◆ Document
 - ◆ Exit conference



On-Site Step 3



- After visit, conduct PJ staff meeting
 - ◆ Review findings
 - ◆ Determine course of action
 - ◆ Assign tasks

On-Site Step 4



- Provide follow-up letter
 - ◆ Issue promptly
 - ◆ Results of the review
 - ◆ Required tasks
 - ◆ Consequences of inaction
 - ◆ TA or other available assistance
 - ◆ Send to CEO

Intervention



- Happens when funding recipient does not make corrective action
- Written agreements are the backbone for this
- Intervention stages:
 - ◆ Stage 1: low level
 - ◆ Stage 2: moderate
 - ◆ Stage 3: high

Outreach to Recipients



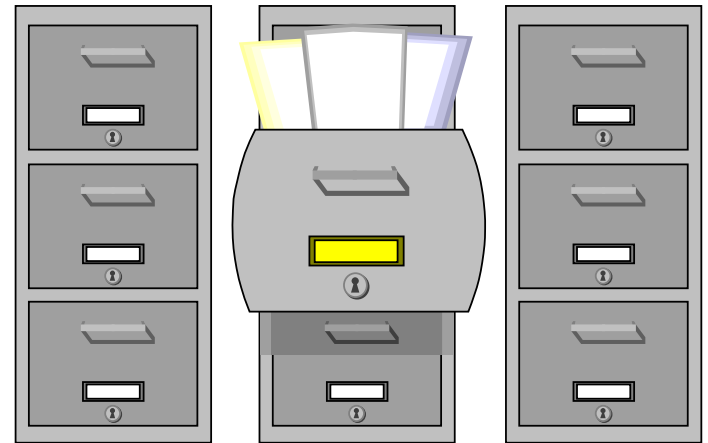
- Important to share information with funding recipients
- Consult with HUD for sample materials
- Conduct training sessions and orientations
- Provide TA



Records



- Types:
 - ◆ Program
 - ◆ Project
 - ◆ CHDO
 - ◆ Financial
 - ◆ Program admin
 - ◆ Other federal
- Keep 5 years



Reporting



- Submit CAPER annually
- Contains:
 - ◆ Accomplishments
 - ◆ Status of actions to implement strategy